

Biotechnology; and Water Science. An example: One Fellow who conducted research leading to a dissertation on the heat and mass transfer of hygroscopic porous materials, is now a university Assistant Professor.

REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 3402 (52 FR 4712, February 13, 1987, as amended by 55 FR 2214, January 22, 1990); Application Kit for the Food and Agricultural Sciences National Needs Graduate Fellowships Grants; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug- Free Workplace (Grants); 7 CFR Part 3018, Restrictions on Lobbying; and 7 CFR Part 3019, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

INFORMATION CONTACTS:

Regional or Local Office:

None.

Headquarters Office:

Grant Programs Manager, Higher Education Programs, CSREES, Department of Agriculture, Room 3912, South Building, Washington, DC 20250-2251. Telephone: (202)720-7854.

Web Site Address:

<http://www.reeusda.gov>.

RELATED PROGRAMS:

10.216, 1890 Institution Capacity Building Grants; 10.217, Higher Education Challenge Grants.

EXAMPLES OF FUNDED PROGRAMS:

Grants for fellowships support are awarded to colleges and universities determined through peer review to be characterized by excellence in the chosen targeted need areas.

CRITERIA FOR SELECTING PROPOSALS:

1. The degree to which the proposal clearly establishes that the proposed program of graduate training will result in the development of outstanding scientific/ professional expertise related to the national need area and in a reasonable period of time; 2. the degree to which the proposed program of study reflects special features such as a combination-disciplinary, approach (inter-disciplinary, multi-disciplinary or cross-disciplinary), a unique collateral specialization in a related discipline, experimental learning opportunities, a unique mentoring program, seminars, or a multi-university collaborative approach; 3. the degree to which the proposal establishes that the institution's faculty, facilities and equipment, instructional support resources, and other attributes are excellent for providing outstanding graduate study and research at the forefront of science and technology related to the chosen area of national need; 4. the degree to which the institution's plans and procedures for recruitment and selection of academically outstanding fellows and for monitoring and facilitating fellow's progress through a program of study reflect excellence as documented in the proposal; 5. the degree to which supporting summary data substantiate program quality in the targeted national need area; and 6. the quality of the proposal as reflected by its substantive content, organization, clarity, and accuracy; 7. any additional evaluation criteria as cited in the annual program announcement published in the Federal Register.

10.212 SMALL BUSINESS INNOVATION RESEARCH

(SBIR Program)

FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

AUTHORIZATION:

Small Business Innovation Development Act of 1982, Public Law 97-219, as amended, Public Law 99-443; Public Law 102-564.

OBJECTIVES:

To stimulate technological innovation in the private sector, strengthen the role of small businesses in meeting Federal research and development needs, increase private sector commercialization of innovations derived from USDA-supported research and development efforts, and foster and encourage participation, by women-owned and socially disadvantaged small business firms in technological innovation.

TYPES OF ASSISTANCE:

Project Grants.

USES AND USE RESTRICTIONS:

The selected areas for research are forests and related resources; plant production and protection; animal production and protection; air, water, and soils; food science and nutrition; rural and community development; aquaculture; industrial applications; and marketing and trade. The Small Business Innovation Research Program is carried out in three separate phases: Phase I projects are supported to determine the scientific or technical feasibility of ideas submitted by proposers on the selected research areas; Phase II awards are made to firms with approaches that appear sufficiently promising as a result of Phase I studies. Only those small businesses previously receiving Phase I awards in either of the

two preceding fiscal years are eligible to submit Phase II proposals. Phase II projects are limited to \$300,000 for a period normally not to exceed 24 months; Phase III is to be conducted by the small business concern (including joint ventures and limited partnerships), and will be non-SBIR funded through the exercising of a follow-on funding commitment. The purpose of Phase III is to stimulate technological innovation and the national return on investment from research through the pursuit of commercialization objectives resulting from the USDA-supported work carried out in Phases I and II.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility:

Small businesses which: (a) Are organized for profit, independently owned or operated, are not dominant in the proposed research field, have their principal places of business located in the United States, have a number of employees not exceeding 500 in all affiliated firms owned or controlled by a single parent concern, and meet the other regulatory requirements outlined in 13 CFR Part 121, as amended; (b) are at least 51 percent owned, or in the case of a publicly owned business, at least 51 percent of its voting stock is owned, by U.S. citizens or lawfully admitted permanent resident aliens; (c) are the primary source of employment for the principal investigator of the proposed effort at the time of award and during the actual conduct of proposed research; (d) are the primary performer of the proposed research effort. Because this program is intended to increase the use of small business firms in Federal research or research and development, the term "primary performer" means that a minimum of two-thirds of the research or analytical work, as determined by budget expenditures, must be performed by the proposing organization under Phase I grants. For Phase II awards, a minimum of one-half of the research or analytical effort must be conducted by the proposing firm.

Beneficiary Eligibility:

Small businesses.

Credentials/Documentation:

Each prospective grantee organization must furnish the organizational information and assurances specified in the SBIR program solicitation. The principles to be used in determining allowable costs of activities under this program are contained in the Federal Acquisition Regulations, 48 CFR Part 31. This program is excluded from coverage under OMB Circular No. A-87.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination:

Publication by the Small Business Administration listing all agencies participating in the program, their Small Business Innovation Research coordinators, proposed dates for their solicitations, and proposed topic areas. This program is excluded from coverage under OMB Circular No. A-102 and E.O. 12372.

Application Procedure:

Formal proposal to SBIR Program, CSREES, USDA, as outlined in the SBIR program solicitation. Application procedures are contained in the SBIR program solicitation. This program is excluded from coverage under OMB Circular No. A-110.

Award Procedure:

The SBIR Program staff reviews and evaluates all proposals with the assistance and advice of a peer panel of qualified scientists and other appropriate persons who are specialists in the field covered by the proposal.

Deadlines:

Deadlines are announced in the Federal Register and SBIR Program Solicitation for each fiscal year. The deadline for submission of fiscal year 2002 Phase I proposals was August 31, 2001, and for Phase II proposals was February 7, 2002.

Range of Approval/Disapproval Time:

Six months from application receipt to notification of approval/disapproval.

Appeals:

Phase I applications may be revised and resubmitted during a later funding cycle, provided the subject matter of the proposal is not changed, and the topic area under which the proposal was originally submitted is still listed in the solicitation. Phase I grantees may apply for a Phase II grant only once for each Phase I project funded.

Renewals:

None.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements:

There are no matching requirements.

Length and Time Phasing of Assistance:

Phase I grants are normally limited to 6 months. Phase II grants are normally limited to 2 years.

POST ASSISTANCE REQUIREMENTS:

Reports:

Final performance and final financial status reports for Phase I grants must be submitted 30 and 90 days, respectively, after the expiration date of the grant. Final performance and final financial status reports for Phase II grants must be submitted 90 days after the expiration date of the grant.

Audits:

Periodic audits should be made as part of the recipient's systems of financial

management and internal control to meet the terms and conditions of grants and other agreements. This program is also subject to audit by the cognizant Federal audit agency and the USDA Office of Inspector General. Federal audits will be made in accordance with the policies of the Federal Acquisition Regulations, 48 CFR Part 42, to ensure that funds have been applied efficiently, economically, and effectively.

Records:

Grantees are expected to maintain separate records for each grant to ensure that funds are used for the purpose for which the grant was made. Records are subject to inspection during the life of the grant and for at least 3 years after the date of submission of the final financial status report.

FINANCIAL INFORMATION:

Account Identification:

12-1500-0-1-352.

Obligations:

(Grants) FY 02 \$13,807,445; FY 03 est \$12,769,709; and FY 04 est \$12,769,709.

Range and Average of Financial Assistance:

\$46,000 to \$300,000. Average: \$94,990.

PROGRAM ACCOMPLISHMENTS:

This program was designed to strengthen the role of small, innovative firms in Federally-funded research and development. The nine categories of research supported under this program are: Forests and Related Resources; Plant Production and Protection; Animal Production and Protection; Air, Water, and Soils; Food Science and Nutrition; Rural and Community Development; Aquaculture; Industrial Applications; and Marketing and Trade.

REGULATIONS, GUIDELINES, AND LITERATURE:

7 CFR Part 3403, Small Business Innovation Research Grants Program, Administrative Provisions, 62 FR26168, May 12, 1997; 7 CFR Part 3015, USDA Uniform Federal Assistance Regulations; 7 CFR Part 3017, Government wide Debarment and Suspension (Nonprocurement) and Government wide Requirements for Drug- Free Workplace (Grants); 7 CFR Part 3018, New Restrictions on Lobbying.

INFORMATION CONTACTS:

Regional or Local Office:

None.

Headquarters Office:

SBIR Director, Cooperative State Research, Education, and Extension Service, Department of Agriculture, Ag Box 2243, 14th and Independence Ave., SW., Washington, DC 20250-2243. Telephone: (202) 401-4002.

Web Site Address:

<http://www.reeusda.gov>.

RELATED PROGRAMS:

None.

EXAMPLES OF FUNDED PROJECTS:

Bolted Wood Framing System; Development of Floating Permeable Covers to Control Emissions from Livestock Waste Lagoons; Production of Organic Acids by Simultaneous Fermentation and Adsorption; Software for Evaluating the Impact of Forest Management Plans on Wildlife; Bioprocessing Wheat Midds and Screenings to Improve Protein.

CRITERIA FOR SELECTING PROPOSALS:

(a) The scientific and technical quality of the proposed research plan and its relevance to the stated objectives, with special emphasis on innovativeness and originality; (b) importance of the problem or opportunity and anticipated commercial potential of the proposed research, if successful; (c) adequacy of the objectives to show incremental progress toward proving the feasibility of approach; (d) qualifications of the principal investigator, other key staff and consultants, and the probable adequacy of available or obtainable instrumentation and facilities to carry out the proposed work; (e) the technical, economic, and/or social importance of the problem or opportunity and anticipated commercial potential if research is successful; and (f) reasonableness of the budget requested for the work proposed.

10.215 SUSTAINABLE AGRICULTURE RESEARCH AND EDUCATION

FEDERAL AGENCY:

COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE, DEPARTMENT OF AGRICULTURE

AUTHORIZATION:

National Agricultural Research, Extension, and Teaching Policy Act Amendments of 1985, Public Law 99-198, Sections 1461-1471, 7 U.S.C. 4701-4710; Food, Agriculture, Conservation, and Trade Act of 1990, Section 1621, 7 U.S.C. 5811.

OBJECTIVES:

To facilitate and increase scientific investigation and education in order to reduce the use of chemical pesticides, fertilizers and toxic materials in agricultural production; to improve management of on-farm resources to enhance productivity, profitability and competitiveness; to promote crop, livestock and enterprise diversification and to facilitate the conduct of research

projects in order to study agricultural production systems that are located, in areas that possess various soil, climatic, and physical characteristics; to study farms that have been and continue to be managed using farm production practices that optimize the use of on-farm resources and conservation practices; to take advantage of the experience and expertise of farmers and ranchers through their direct participation and leadership in projects; to transfer practical, reliable and timely information to farmers and ranchers concerning sustainable practices and systems; and to promote a partnership between farmers, nonprofit organizations, agribusiness and public and private research and extension institutions.

TYPES OF ASSISTANCE:

Project Grants.

USES AND USE RESTRICTIONS:

Funds may not be used to pay indirect costs or tuition. Funds may be used for transportation, per diem, salaries, office supplies, printing, and other direct costs for conducting approved activities.

ELIGIBILITY REQUIREMENTS:

Applicant Eligibility:

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

Beneficiary Eligibility:

Land-grant colleges or universities, other universities, State agricultural experiment stations, State cooperative extension services, nonprofit organizations, and individuals with demonstrable expertise, or Federal or State governmental entities.

Credentials/Documentation:

Costs will be determined in accordance with OMB Circular No. A-87 for State and local governments and OMB Circular No. A-21 for educational institutions.

APPLICATION AND AWARD PROCESS:

Preapplication Coordination:

The standard application forms as furnished by the Federal agency and approved by OMB must be used for this program. This program is excluded from coverage under E.O. 12372.

Application Procedure:

This program is subject to the provisions of OMB Circular No. A-110 as implemented by 7 CFR Part 3019 or A-102 as implemented by 7 CFR 3016. The standard application forms as furnished by the Federal agency and approved by OMB must be used for this program.

Award Procedure:

Regional technical committees will review, rank and prioritize proposals received from public and private organizations and make recommendations for funding to the regional administrative councils. Regional administrative councils will approve proposals for funding and associated plans of work and submit them to USDA. Research and education subcommittee on sustainable agriculture will review plans of work and the Department will give final approval.

Deadlines:

Contact the Headquarters office for application deadlines.

Range of Approval/Disapproval Time:

From 90 to 180 days.

Appeals:

None.

Renewals:

None.

ASSISTANCE CONSIDERATIONS:

Formula and Matching Requirements:

There are no statutory formula or matching requirements.

Length and Time Phasing of Assistance:

Agreements will be supported for periods of 1 to 5 years. Funds are released by the electronic transfer system and reimbursement by Treasury check.

POST ASSISTANCE REQUIREMENTS:

Reports:

Standard reporting as required by OMB Circular Nos. A- 102 and A-110 as implemented by 7 CFR Part 3016 or 7 CFR Part 3019, respectively.

Audits:

In accordance with the provisions of OMB Circular No. A- 133 (Revised, June 24, 1997), "Audits of States, Local Governments, and Nonprofit Organizations," nonfederal entities that expend financial assistance of \$300,000 or more in Federal awards will have a single or a program-specific audit conducted for that year. Nonfederal entities that expend less than \$300,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in Circular No. A-133.

Records:

Standard records required by OMB Circular Nos. A-102 and A-110 as implemented by 7 CFR Part 3016 or 7 CFR Part 3019, respectively, must be maintained for 3 years.

FINANCIAL INFORMATION:

Account Identification:

12-1500-0-1-352.